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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.
08/976,579	11/24/97	THORNTON	J JAO-34191

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EXAMINER

TUCKER, C

ART UNIT

PAPER NUMBER

2766

5

DATE MAILED:

02/01/00

Please find below and/or attached an Office communication concerning this application or proceeding.

Commissioner of Patents and Trademarks

Office Action Summary

Applicant(s)

08/976,579

Applicant(s)

THORNTON ET AL.

Examiner

Christopher M. Tucker

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2766

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136 (a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).

Status

- 1) ☒ Responsive to communication(s) filed on 16 November 1999.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-27 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-27 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claims _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are objected to by the Examiner.
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. § 119

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).
- a) ☐ All b) ☐ Some * c) ☐ None of the CERTIFIED copies of the priority documents have been:
1. ☐ received.
2. ☐ received in Application No. (Series Code / Serial Number) _____.
3. ☐ received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

- 14) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. & 119(e).

Attachment(s)

- 14) ☒ Notice of References Cited (PTO-892)
- 15) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 16) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____
- 17) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 18) ☐ Notice of Informal Patent Application (PTO-152)
- 19) ☐ Other: _____

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DETAILED ACTION

1. Claims 1-27 are presented for examination.
2. The Examiner withdraws the rejection of claims 10-18 under 35 U.S.C. 112, first paragraph.
3. The Examiner withdraws the rejection of claims 1-27 under 35 U.S.C. 102(e) or, in the alternative, under 35 U.S.C. 103(a) over Wolff et al. (U.S. 5,671,282).

Claim Rejections - 35 USC § 102

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

5. Claims 1-6, 10-15, and 19-24 are rejected under 35 U.S.C. 102(b) as being anticipated by Smith et al. (hereinafter, "Smith") (U.S. 5,181,162).
6. As per claims 1 and 10, Smith discloses a document management and production system whereby a document or a collection of documents represented by a folder is represented as collections of "objects" (column 2, line 64 – column 3, line 3; column 3, lines 29-35). Objects are broadly classified as "logical" and "layout" objects (column 3, lines 36-45). A document object contains pointers to content objects as well as to logical objects and layout objects (column 3, line 67 – column 4, line 2; column 4, lines 25-29; column 5, lines 30-32; column 8, lines 12-20; column 10, lines 42-47). Access to objects can be selectively restricted by insertion of appropriate "access" attributes within such objects (column 4, lines 67 – column 5, line 29).

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The document which is produced can be printed or displayed electronically, or electronically transmitted (column 2, lines 61-64).

7. As per claims 2 and 11, Smith discloses an electronic scanner for scanning the encoded information (column 9, lines 3-10).

8. As per claims 3 and 12, Smith discloses an object-oriented database augmented by a series of additional software modules that support object-oriented operation (column 2, lines 54-61; column 6, lines 40-48).

9. As per claims 4 and 13, Smith discloses that users obtain information about objects and access objects through a variety of utility programs integrated within the system (column 4, lines 30-37).

10. As per claims 5 and 14, Smith discloses that the “objects” contain related human readable information (column 3, line 67 – column 4, line 13) and are assembled into an integrated whole which can be printed (column 2, lines 61-64).

11. As per claims 6 and 15, Smith discloses that the “objects” are accessed by means of an object-oriented database management system (column 4, lines 14-15) and that users obtain information about objects and access objects through a variety of utility programs (column 4, lines 30-32). Therefore, it is inherent that a memory is available which stores the “objects”.

12. As per claims 19-24, this method comprises the same limitations as in claims 1-9.

Claim Rejections - 35 USC § 103

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13. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

14. Claims 7-9, 16-18, and 25-27 are rejected under 35 U.S.C. 103(a) as being unpatentable over Smith et al. (U.S. 5,181,162) as applied above and discussed below.

15. As per claims 7 and 16, Smith discloses that an attribute of the "object" contains a field for the user's name (column 15, lines 54-68). It would have been obvious to one of ordinary skill in the art at the time of the invention modify Smith to have a field which identifies the owner of document to allow for better document tracking.

16. As per claims 8 and 17, Smith does not disclose that the "objects" are encrypted. It would have been obvious to one of ordinary skill in the art at the time of the invention to modify Smith such that the "objects" are encrypted to provide an additional layer of security which the access restrictions provide.

17. As per claims 9 and 18, Smith does not disclose that the "objects" contain authentication information. It would have been obvious to one of ordinary skill in the art at the time of the invention to modify Smith such that the "objects" contain authentication information to provide assurance that the "objects" have not been modified by an unauthorized entity.

18. As per claims 25-27, this method comprises the same limitations as in claims 7-9 and 16-18.

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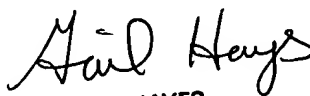
19. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Christopher M. Tucker whose telephone number is 703 306 5539. The examiner can normally be reached on M-F between the hours of 8:30 and 4:30 with alternating Fridays off.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gail O. Hayes can be reached on 703 305 9711. The fax phone numbers for the organization where this application or proceeding is assigned are 703 305 0040 for regular communications and 703 305 0040 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703 305 3900.

CMT
CMT

January 29, 2000


GAIL O. HAYES
SUPERVISORY PATENT EXAMINER
GROUP 2700